
Retail Market Procedure
MP NI 502
Re-certification

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Document Control

Version Control

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1.0	MEPCT	21/05/2012	Baseline
1.1	MEPCT	06/11/2015	Update for Balanced Scorecard
1.2	MEPCT	07/06/2016	Updated from Supplier review comments

1. Introduction

1.1 Overview

All Suppliers are required to be Certified by market sector to be able to supply customers within that sector in the Northern Ireland Retail Electricity Market.

The certification categories for the various market sectors are:

- Interval Commercial
- Non Interval Commercial
- Non Interval Residential Credit Metered
- Non Interval Residential Keypad Metered
- Unmetered

As the initial Certification for any sector is awarded at a single point in time, the basis on which the Certification Decision was made may change over time. To ensure that Suppliers remain capable of meeting their obligations, a regular process of review and reassurance must be undertaken. This is the procedure for that process.

1.2 In scope

The following are within the scope of this procedure in respect of each market sector for which the Supplier is Certified :

- annual reassurance of continued compliance
- notification of material change in systems, processes or procedures
- Re-certification of continued compliance by a Supplier as notified by the Market Entry Process Co-ordination Team ("MEPCT")

1.3 Out of scope

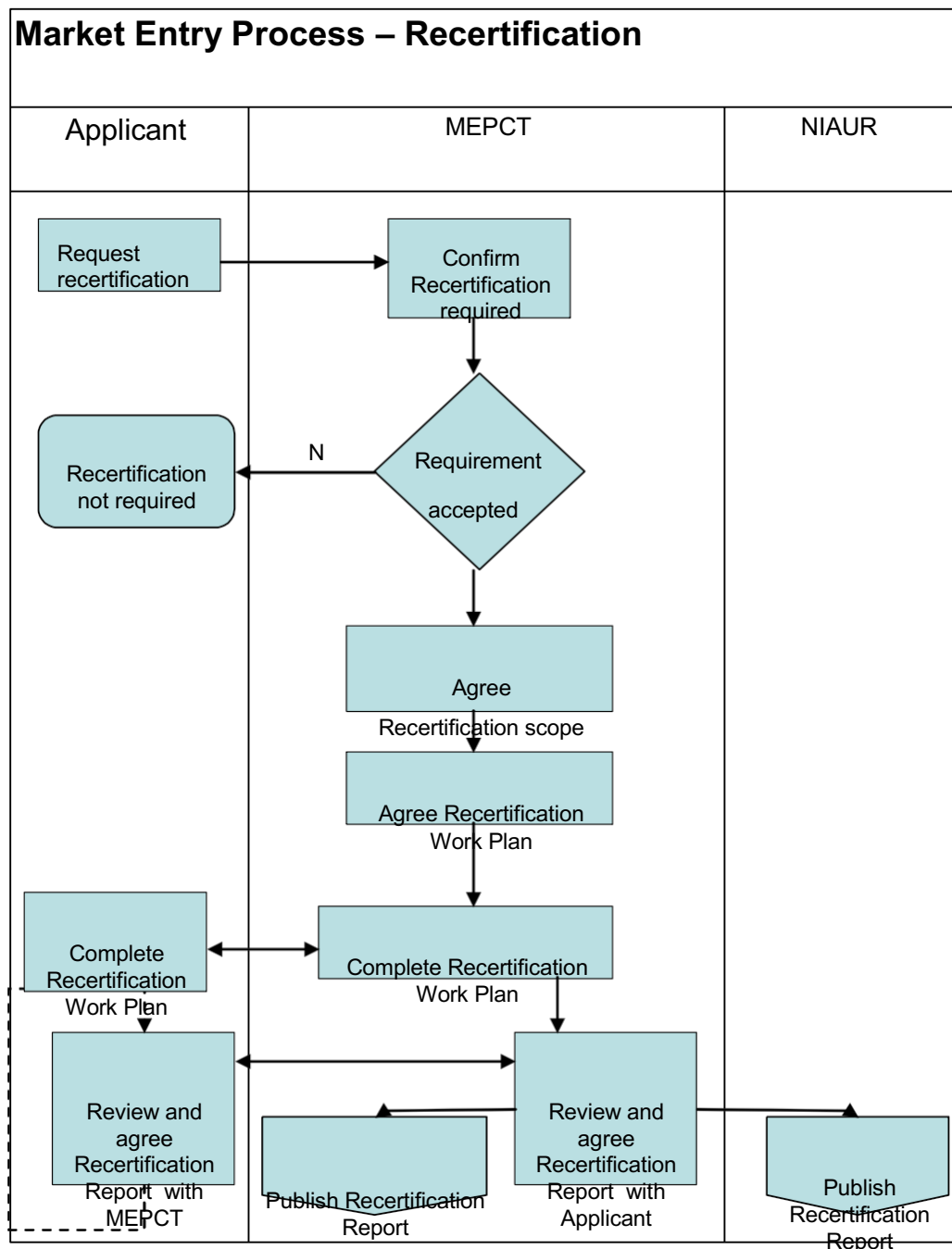
The following are not within the scope of this procedure in respect of each market sector for which the Supplier is Certified:

- Initial Certification of a Supplier

- Disputes relating to Recertification Process and appeals from a Recertification Decision, for which reference must be made to MP NI 505 Disputes and Appeals Procedure.

2. Recertification

2.1 Procedural Flow



2.2 **Recertification Request by Supplier**

A Supplier must request Recertification for each relevant market sector by providing a Recertification Application to MEPCT such that Recertification will be achieved prior the implementation of any material changes in the Supplier's Certified Procedures and/or Certified Systems. A material change may include:

- Implementation of any new market message;
- Automation or integration between the Electricity Market Messaging Application ("EMMA") and any of the Supplier's systems for any existing message;
- Replacement of any part of a Supplier's System including changes to business processes which support interfaces with EMMA;
- Changes to the Supplier's Certified Procedures and/or Certified Systems which impact on a Supplier's ability to maintain a baseline compliance as outlined in the Market Retail Code and MP_NI 501 Market Certification;
- The Supplier begins to supply meter points outside the restrictions in their Certification Decision;
- When an active Dispensation, other than a Generic Dispensation, expires.

2.3 **Recertification request from NIE Networks**

A Supplier must Recertify for any relevant market sector if requested to do so, for any reason, by NIE Networks. NIE Networks will notify the MEPCT of its request and the MEPCT will issue a Notice to Recertify to the Supplier. The Supplier has the right to dispute this Notice to Recertify in accordance with the procedure specified in MP NI 505 Disputes and Appeals Procedure.

2.4 **Annual Reassurance**

The Market Registration Code indicates that Suppliers must maintain their certified IT systems and business processes in order to maintain their Certification status. The annual reassurance process is used as a mechanism to provide comfort that this has occurred during the review year.

The re-assurance process uses two mechanisms to provide comfort that Suppliers have maintained their certification status, namely;

- The annual reassurance statement; and
- The balanced scorecard

The Annual Reassurance Statement

All Suppliers are required to submit an Annual Reassurance Statement to the MEPCT addressing material change during the year for each relevant market sector (refer to section 2.2). The statement must address all material changes to the Supplier's Certified Systems and Certified Procedures "as at

the first day of November” in the year the Annual Reassurance Statement is provided and is to be delivered to MEPCT no later than the last day of November each year commencing from the first year after the year in which the Suppliers original Certification is granted.

The Balanced Scorecard

The Balanced Scorecard is a mechanism to provide comfort to Suppliers focusing on how their Market Messaging Applications and back end systems are communicating with NIE Networks. It also seeks to provide assurance that the Retail Market Procedures are being followed when communicating with NIE Networks. The scorecard focuses mainly on the following key areas

- Contingency events within the Tibco system
- Market Messages that have gone in error or follow unusual trends;
- Customer cap levels have not been breached (where applicable)

The target for the Balanced Scorecard is to achieve a green status in each area. An amber or red status would indicate a level of intervention is required by the supplier to resolve.

In order for MEPCT to renew the Certification Decision, the Supplier will be required to;

1. Indicate through the Annual Reassurance Statement that no material changes, other than those for which Recertification has already been obtained, or have occurred; and
2. Achieve a satisfactory result within their Balanced Scorecard or have provided comfort over the remedial actions that are being instigated to enhance their Scorecard result. In other words a red or amber status in itself does not automatically mean a recertification will occur rather will suggest dialogue between the Supplier, NIE Networks and if required the Regulator.

Once the above occurs, MEPCT will renew the Suppliers current Certification Decision. Where comfort has not been attained, MEPCT will issue a Notice to Recertify on the basis that the Supplier should have applied for Recertification and has failed to do so, or that their systems or market message business processes have not been maintained as directed under the Market Registration Code.

2.5 Recertification Method

A Recertification Application is raised by a Supplier and submitted by that Supplier to the MEPCT. An Applicant can rely on evidence provided and statements made for the purpose of obtaining its current Certification. The scope of recertification must be agreed between the Applicant and the MEPCT as well as the plans for any testing between the Applicant and the Test Co-ordination Centre ("TCC").

In general the plan and scope of Recertification will be limited to the areas where changes have occurred.

Should a plan and scope of Recertification not be agreed, the Supplier will lose their Certification for the relevant market sector at the point the Recertification event occurs. The Supplier can raise a Dispute if they consider the failure to agree a plan with MEPCT is unreasonable.

Once the Recertification Application is made, the procedures set out in Market Entry Process MP NI 501 are to be followed addressing the areas of change only. The procedures will run as for a full Certification albeit to the agreed, plan and scope. This will generally entail a reduced Certification burden.

2.6 **Timescales**

All timescales in this section 2 and section 4 are indicative and based on there being no iterations, rejections or testing failures. Although the MEPCT estimates are indicative of a worst case scenario it is advised that an Applicant must complete Recertification within 65 Business Days from the point of submission of the Recertification Application or any other date as may be agreed between the parties or by an agreed date with MEPCT when Recertification is initiated by MEPCT, including any required Certification testing for obtaining Recertification.

3. Document Layouts

3.1 Annual Reassurance Statement

Type	Pro forma Letter	Format	MS Word
Sent From	Supplier	Sent To	MEPCT
Copied To			

Notes

The statement must address all material changes as specified in section 2.2 of this procedure that have occurred since the last day of November in the preceding year, confirm adherence to the Tibco EULA and is to be delivered to the MEPCT no later than the last day of November in each year. To be signed by a Main Board Director or equivalent in an organisation that is without a main board.

3.2 Recertification Application

Type	Form	Format	MS Word
Sent From	Supplier	Sent To	MEPCT
Copied To			
Notes	States the reasons for seeking recertification by Certification Category		

3.3 Notice to Recertify

Type	Letter	Format	MS Word
Sent From	MEPCT	Sent To	Supplier
Copied To			
Notes	States the grounds upon which Recertification is required for each relevant Certification Category		

4. Procedural Steps

4.1 Annual Reassurance Statement

No	Supplier	MEPCT	The Authority	Business Days
1.	Each Supplier to complete an Annual Reassurance Statement			
2.	Submit the return to the MEPCT by the end of November each year	Receive and review the Annual Reassurance Statement.		10
3.	If Recertification required from Annual Reassurance statement or Balanced Scorecard Receive Notice to Recertify and continue at 4.4 below.	If Recertification required Issue Notice to Recertify to Supplier and continue at 4.4 below.		5
4.	If Recertification not required Receive renewed Certification	If Recertification not required Notify Supplier and publish the Certification Decision renewing Applicant's current Certification.		5
5.		End of procedure		

4.2 Balanced Scorecard

No	Supplier	MEPCT	The Authority	Business Days
1.		MEPCT prepares draft scorecard for each Supplier (bi-annual process in July and January)		
2.	Supplier receives draft scorecard and reviews internally	MEPCT will aim to meet Supplier if requested		15
3.	Scorecard is approved by Supplier	Scorecard is approved by MEPCT and NIE Networks		10

4.	If there is a Red or Amber overall scorecard status Supplier will seek to detail how they plan to improve the status in the forthcoming scorecard			10
5.		End of procedure		

4.3 Self Assessed Need to Recertify

No	Supplier	MEPCT	The Authority	Business Days
1.	Submit to MEPCT a Recertification Application stating the reason/grounds for seeking Recertification.			
2.		Review and evaluate the Recertification Application		3
3.	Respond to information requests from the MEPCT within a reasonable timescale ¹ .	Respond to requests for information and provide opinions as to market risk caused by the changes/reasons for the request.		25
4.		Review responses, discuss and agree recertification scope.		2

¹ Any failure to respond to requests for information within a reasonable timescale, (as stated), shall be treated as additional risk when evaluating the Recertification opinion.

No	Supplier	MEPCT	The Authority	Business Days
5.	If Recertification required Receive notification and continue at 4.4 below.	If Recertification required Notify Supplier and continue at 4.4 below.		1
6.	If Recertification not required Receive notification	If Recertification not required Notify Supplier.		1
7.		End of procedure		

4.4 Recertification

No	Supplier	MEPCT	TCC	The Authority	Business Days
1.	Agree Recertification plan and document the scope of testing with MEPCT.	Taking into consideration the Notice to Recertify and/or the findings reached by MEPCT above agree with the Applicant the plan and scope of the Recertification and the allowed reliance upon original Certification submissions. Agree recertification plan with supplier.	Agree the scope of Testing		10
2.	Follow Market Entry Process MP NI 501 Qualification restricted to the agreed scope of Recertification and testing.				20
3.	Agree consolidation of Certification documents.	Consolidate the new responses with the current Certification documents to produce a single suite of documents supporting the current Certification status.			5
4.	Follow Market Entry Process MP NI 501 Certification restricted to the agreed scope of Recertification. Step will generally be performed in parallel with steps 2 and 3 above				20+
5.		End of procedure			